

# **Grant Competition for Partnerships in Character Education Program**

**CFDA#84.215S – State Educational Agencies and Local Educational Agencies**

## **Information and Application Procedures for Fiscal Year 2006**

OMB No. 1890-0009    Expiration Date: 6/30/2008

**Application Deadline: April 10, 2006**



**Frequently Asked Questions**  
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**U.S. Department of Education**

Office of Safe and Drug-Free Schools



## UNITED STATES DEPARTMENT OF EDUCATION

### Office of Safe and Drug-Free Schools

Dear Applicant:

Thank you for your interest in applying for a Partnerships in Character Education grant.

Character education is the shared responsibility of parents, teachers, and members of the community, who come together to support positive character development. In school, character education is a learning process that enables students and adults in a school community to understand, care about and act on core ethical values such as respect, justice, civic virtue and citizenship, and responsibility for self and others. Since students spend much of their young lives in classrooms, this time in school is an opportunity to explain and reinforce the core values upon which character is formed.

This competition supports the Department of Education's Strategic Plan, Goal 3 to Develop Safe Schools and Strong Character by promoting strong character and citizenship among our nation's youth. Funds may be used for the development, implementation, and evaluation of character education programs at the district and state levels.

We look forward to receiving your application for a Partnership in Character Education Program grant.

Sincerely,

A handwritten signature in black ink, which appears to read "Deborah A. Price". The signature is fluid and cursive, with the first name being the most prominent.

Deborah A. Price  
Assistant Deputy Secretary

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# **I. IMPORTANT INSTRUCTIONS REGARDING GRANTS.GOV**

## **U.S. Department of Education Grants.gov Submission Procedures and Tips for Applicants**

Please note that the Grants.gov site works differently than the U.S. Department of Education's (Department) e-Application system. To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

1. **REGISTER EARLY** – Grants.gov registration is a one-time process that may take five or more days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Get Started Steps are complete. For detailed information on the Get Started Steps, please go to: <http://www.grants.gov/GetStarted>.

2. **SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application.** Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30 pm on the deadline date.

**Note: To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).**

3. **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Check Application Status link. For a successful submission, the date/time received should be earlier than 4:30 p.m. on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site:

<http://www.grants.gov/assets/ApplicationErrorTips.doc>. If you discover your

application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

### **Submission Problems – What should you do?**

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site: <http://www.grants.gov/CustomerSupport>.

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

### **Helpful Hints When Working with Grants.gov**

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department's database.) You must provide on your application the DUNS number that was used when your organization registered with the CCR.

Please go to <http://www.grants.gov/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage <http://www.grants.gov>.

### **Dial-Up Internet Connections**

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the Federal Register notice for detailed instructions.)

**MAC Users**

If you do not have a Windows operating System, you will need to use a Windows Emulation program to submit an application using Grants.gov. For additional information, review the [PureEdge Support for Macintosh](#) white paper published by Pure Edge:

[http://www.grants.gov/GrantsGov\\_UST\\_Granttee/!SSL!/WebHelp/MacSupportforPureEdge.pdf](http://www.grants.gov/GrantsGov_UST_Granttee/!SSL!/WebHelp/MacSupportforPureEdge.pdf), and/or contact Grants.gov Customer Support

(<http://www.grants.gov/CustomerSupport>). If you do not have a Windows emulation program and electronic submission is required, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the Federal Register notice for detailed instructions.)

## **II. GENERAL INFORMATION**

### **Overview**

We will award grants under this competition to design and implement character education programs that are able to be: (1) integrated into classroom instruction and are consistent with State academic content standards, and (2) carried out in conjunction with other education reform efforts, taking into consideration the view of parents, students, students with disabilities (including those with mental or physical disabilities) and other members of the community, including members of private and nonprofit organizations.

### **Eligibility**

Eligible applicants under this program are:

- (a) A State educational agency (SEA) in partnership with one or more local educational agencies (LEAs);
- (b) An SEA in partnership with one or more LEAs and nonprofit organizations or entities, including an Institution of Higher Education (IHE)
- (c) An LEA or consortium of LEAs; or
- (d) An LEA or LEAs in partnership with one or more nonprofit organizations or entities, including an IHE.

### **Authority**

This grant program is authorized under Title V, Part D, Subpart 3, Section 5431 of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001 (Public Law 107-110).

### **Official Documents Notice**

The official document governing this competition is the Notice Inviting Applications published in the Federal Register on February 23, 2006. This notice also is available electronically at: [www.ed.gov/legislation/FedRegister](http://www.ed.gov/legislation/FedRegister) and <http://www.gpoaccess.gov/nara>.

### **Purpose**

The purpose of this program is to provide grants to eligible entities to assist them in designing and implementing character education programs that teach students any of the following elements of character: caring, civic virtues and citizenships, justice and fairness, respect, responsibility, trustworthiness, giving or any other elements deemed appropriate by the eligible entity, having taken in consideration the view of parents and students. The character education programs supported must be programs that are able to be integrated into classroom instruction; are consistent with State academic content standards; can be carried out in conjunction with other educational reform efforts; and provide program activities that include parents, students, students with disabilities (including those with mental or physical disabilities), and other members of the community in the design and implementation.

## **Project Period**

The project period for grants awarded under this program is up to 48 months (4 budget periods of 12 months each), of which no more than 12 months may be used for planning and program design. Grants awarded under this program will be funded for one year at a time. Decisions regarding additional years of funding for all grant awards will be made on the basis of such factors as: a) whether or not grantees have made substantial progress towards achieving the goals and objectives of their project, and b) availability of funds.

**Note:** Applicants requesting four-year projects must submit ED Form 524 and a detailed budget narrative for each of the four years. Failure to submit for ED Form 524 and a detailed budget narrative for each of the proposed project years will result in no funds being awarded for those years.

## **Estimated Range of Awards**

It is estimated that a total of 35 new awards will be made under this competition. The estimated range of awards to SEAs is \$500,000 to \$750,000 for each 12-month budget period. For LEAs, the estimated range of awards is \$250,000 to \$500,000 for each 12-month budget period. Pursuant to Section 5431 (a) of the ESEA, we will reject any application from an SEA that proposes a total budget for a single budget period that is less than \$500,000. This restriction does not apply to applications from LEAs. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant. We expect that applicants who request funding at the higher end of these ranges will implement experimental or quasi-experimental evaluation designs.

In making awards under this grant program, the Secretary may take into consideration the geographic distribution of the projects in addition to the rank order of applicants. Contingent upon the availability of funds, the Secretary may make additional awards in fiscal year 2007 or 2008 from the rank-ordered list of nonfunded applications from this competition.

## **Application Due Date**

All applications must be postmarked on or before **April 10, 2006**, in order to be eligible for review. Applications for grants under the Partnerships in Character Education Program competition may be submitted electronically through the Internet using the software provided on the new government wide Grants.gov. Grants.gov is accessible through its portal page at: <http://www.Grants.gov>.

If, within two weeks of the application deadline date, you are unable to submit an application electronically, you must submit a paper application that is postmarked on or before **April 10, 2006**. Applications delivered by hand must be received by the U.S. Department of Education Application Control Center no later than 4:30 PM Eastern Time (ET) on **April 10, 2006**.

Under very extraordinary circumstances, the Department may change the closing date for a competition. When this occurs, we announce such a change in a notice published in the Federal Register.



## **E-Mail Address**

Please be sure to provide your e-mail address on ED Form 424 clearly (if printing) and accurately. During our review of the budget portion of your application, we may need to contact you with clarifying questions. These contacts will usually happen via-email. Please be sure that the e-mail address you provide is accessible by an authorized representative of your organization until the projected date for new awards. We will also make your peer review comments available to the authorized representative and the project director on-line at the conclusion of the review.

## **Resources**

Any questions related to the requirements of this grant competition should be directed to Sharon J. Burton, of the Office of Safe and Drug-Free Schools (OSDFS) by email at [sharon.burton@ed.gov](mailto:sharon.burton@ed.gov) or by telephone at (202) 205-8122. The OSDFS Web site is located at [www.ed.gov/OSDFS](http://www.ed.gov/OSDFS). For more information about character education programs, contact the Department of Education's Center for Character and Civic Education Technical Assistance Center (CETAC). The Center is a national resource for training and technical assistance in character education in schools. The Center can be contacted via telephone (866) 402-3822 or the web at <http://www.cetac.org>.

## **Technical Assistance in Preparing Applications**

Information about applying for grants from the Office of Safe and Drug-Free Schools is available on-line at <http://www.ed.gov/admins/grants/apply/techassist/index.html>.

## **D-U-N-S Number Instructions**

All grantees must have a D-U-N-S Number in order to receive a grant award. You can obtain your D-U-N-S Number at no charge by calling **1-800-333-0505** or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: [http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html).

Dun & Bradstreet, a global information service provider, assigns D-U-N-S numbers.

## **Estimated Public Reporting Burden**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the information collection is OMB No. 1890-0009, Expiration Date: 06/30/2008. The time required to complete the information collection is estimated to average 32 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Office of Safe and Drug-Free Schools, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202-6450.

### **III. THE GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)**

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In doing so, it is expected that GPRA will contribute to improvements in accountability for the expenditures of public funds, improve congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

**GOAL 1:** Create a culture of achievement.

**GOAL 2:** Improve student achievement.

**GOAL 3:** Develop Safe Schools and Strong Character.

**GOAL 4:** Transform Education into an Evidence-Based Field.

**GOAL 5:** Enhance the quality and access to Postsecondary and Adult Education.

**GOAL 6:** Establish Management Excellence.

One performance indicator has been established for the Partnership in Character Education Program. The indicator is: Partnerships in Character Education Program grantees will demonstrate predicted student effects through valid, rigorous, evaluations. Consequently, applicants for a grant under this program are advised to give careful consideration to this measure in conceptualizing the design, implementation, and evaluation of their proposed project. If funded, applicants will be asked to collect and report data in their annual performance reports on evaluation outcomes. The Secretary will track this indicator with the use of one measure.

That measure is: The proportion of projects funded under this competition demonstrating predicted student effects through valid, rigorous evaluations would increase.

## **IV. TIPS FOR APPLICANTS**

### **A. Before you Begin**

- Read this application package carefully and make sure you follow all of the instructions.
- Use the tools we have provided to help you including:
  - Important Instructions regarding Grants.gov,
  - Frequently Asked Questions in this application package, and
  - How to apply for a grant on our web site at <http://www.ed.gov/admins/grants/apply/techassist/index.html>.
- Contact the program person listed in this application if there is information that you do not understand.

### **B. Preparing your Application**

- Provide a thorough program description. Write so that someone who knows nothing about your organization or your program plan can understand what you are proposing.
- Organize your application according to the selection criteria and respond comprehensively.
- Make sure your budget narrative provides enough detail about planned expenditures so staff can easily determine how the funds will be spent. The budget should reflect only proposed activities and expenditures that are included in your program narrative.
- Link your planned expenditures to the goals and objectives of your program. Do not request funds for miscellaneous purposes and make sure you demonstrate that your proposed expenditures are necessary to carry out your program.

### **C. Submitting your Application**

- Use the checklist included in this application package to make sure your application is complete before submitting it.
- Make sure all required forms are included and signed by an authorized representative of your organization.
- Note that you may electronically submit your application for these funds. If you cannot submit your application via the Internet, follow the instruction in this package for submitting a paper application.

### **D. What Happens Next?**

- If you submit your application by mail, common carrier or hand delivery, you should receive a postcard from ED's Application Control Center acknowledging receipt of your application in approximately two weeks (depending on the volume of applications) and giving you an assigned number. Please refer to this number if you need to contact us about your application.
- If you submit your application electronically through the Grants.gov website, you will receive an automatic acknowledgement when we receive your application, including the assigned number. Please refer to this number if you need to contact us about your application.

- OSDFS staff screens each application to ensure that all program eligibility requirements are met and all forms are included.
- Your application will be assigned to a three-person panel of expert reviewers who will evaluate and score your proposal according to the selection criteria in this package. Your application will receive a score from 0 to 100 depending upon how well you respond to the requirements of the selection criteria.
- A grant award notification will be sent to applicants whose proposals are selected to receive a grant under the program. Unsuccessful applicants will receive a notification letter. Both successful and unsuccessful applicants will receive information about how to access peer reviewers' comments via email.

## **V. GENERAL INFORMATION AND REQUIREMENTS**

### **Travel Budget for Grantee Meetings**

All applicants must budget, in the first year only, for attendance by one person to the OSDFS New Grantee Meeting (two days). For each of the following years for which funds are requested, applicants must also budget for attendance by two persons at the annual PCEP grantee meeting (two days) and one person to attend the OSDFS National Conference (three days). It is strongly recommended that an outside evaluator working on the project be one of the two participants attending the annual grantee meeting. These meetings are usually held in Washington, DC. Grant funds may be used to pay for all costs associated with attendance at these meetings including transportation, hotel, and per diem.

Grantees may additionally fund training activities that require travel that support program development and implement such as professional development activities. All proposed costs for travel and training(s) must be a part of the proposed project and approved by the Department.

### **Administrative Cost Cap**

An SEA may use not more than three percent (3%) of the total funds received in any fiscal year for administrative purposes. This does not apply to LEAs.

### **Indirect Costs**

An LEA funded under this competition must use its negotiated indirect cost rate, if indirect costs are incurred. This information should be provided as part of the application materials.

### **Contracting for Services**

Generally, all procurement transactions must be conducted in a manner providing full and open competition, consistent with the standards in Section 80.36 of the Education Department General Administrative Regulations (EDGAR). This section requires that grantees use their own procurement procedures (which reflect State and local laws and regulations) to select contractors, provided those procedures meet certain standards described in EDGAR. (EDGAR is available online at: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>; see Section 80.36 for details about these procurement standards.)

Because grantees must use appropriate procurement procedures to select contractors, applicants should not include information in their grant applications about specific contractors that will be used to provide services for the proposed project.

Consistent with the limitations in Section 75.515 of EDGAR concerning the use of consultants, contractors or consultants may be used to help prepare grant applications, but their participation in the application development process should not be presumed to result in the receipt of a contract for work under the project if a grant is awarded. Applicants may include a sum for grant writing costs in their grant's proposed budget provided that the amount requested is necessary and reasonable.

## **Evaluation and Program Reports**

Each grantee is required to submit to the Secretary a comprehensive evaluation of the program including its impact on students, students with disabilities (including those with mental or physical disabilities), teachers, administrators, parents and others by the end of the second year of the program and not later than 1 year after completion of the grant period.

Each grantee is required to submit an annual report to the Secretary that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118.

Each grantee is also required to submit a final performance report, including financial information, ninety days (90) after the end of the project period.

## **Human Subjects Research**

Please see the instructions for ED Form 424 (Application for Federal Education Assistance), paragraphs 13 and 13a, in the Appendices section of this application package. Projects funded under this grant program may be subject to protection of human subjects requirements. Please see the instructions for SF Form 424 in Section XII of this application package. If you have any questions about your responsibilities under these requirements, please contact ED's protection of human subject coordinator at (202) 245-6153.

## **Expectations of Grantees**

By submitting an application for this program, applicants agree to fully cooperate with any evaluation efforts conducted by ED and its contractors. At a minimum, grantees are expected to:

- maintain records on how their program is operating;
- maintain records on the extent to which their program objectives are being met;
- include specific performance measures in their evaluation plan; and
- make ongoing project information, findings, and products available to ensure the dissemination of knowledge gained from this effort during the grant period.

Grantees will be expected to share information about their projects with the Department of Education throughout the grant period. Grantees will be expected to receive technical assistance from the Department as well. It is anticipated that this assistance will take multiple forms from meetings to telephone consultation, printed materials, Internet, and other forms of networking to share ideas and identify resources. The focus of this assistance will include such things as planning for and implementing selected innovative strategies and programs, establishing community partnerships, engaging parental support, establishing measurable goals and objectives, planning and implementing a rigorous process and outcome evaluation of the project, and other evaluation issues.

## VI. APPLICATION INFORMATION AND SELECTION CRITERIA

### Background

Goal Three of the U.S. Department of Education's 2002-2007 Strategic Plan is to "Develop Safe Schools and Strong Character." In reference to this goal, President George W. Bush said: "Teaching is more than training, and learning is more than literacy. Our children must be educated in reading and writing—but also in right and wrong." President Bush also quoted the late Martin Luther King, Jr., who said, "Intelligence plus character—that is the true goal of education."

Since 1995, through the Partnership in Character Education Program, (under the Elementary and Secondary Education Act (ESEA) as amended by the No Child Left Behind Act (NCLB), the Secretary has been authorized to award grants to eligible entities to design and implement character education projects. The program supports character education projects that are integrated into regular classroom instruction, are consistent with State academic content Standards, and are consistent with other educational reforms. Projects supported under this program should help students develop good character by teaching character elements such as caring, civic virtue and citizenship, justice and fairness, respect, responsibility, trustworthiness, giving, or other elements of character. Projects must take into consideration the view of parents, students, students with disabilities (including those with mental or physical disabilities), and other members of the community, including members of private and nonprofit organizations, in the design and implementation of the character education program(s).

### Absolute Priority

This competition includes one absolute priority and one invitational priority that are explained in the following paragraphs. **To be considered for funding, each applicant must address the absolute priority.** Under 34 CFR 75.105(c)(3), Title V – Part D, Subpart 3, Section 5431, the Secretary gives an absolute preference to applications that meet the following priority.

<b>Absolute Priority: Design and Implement Character Education Programs</b>
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Under this absolute priority, grant applicants must design and implement character education programs that:

1. are able to be integrated into classroom instruction and to be consistent with State academic content standards; and
2. are able to be carried out in conjunction with other educational reform efforts.

## **Invitational Priority**

This is an invitational priority for 2006 and any subsequent year in which we make awards based on the list of unfunded applications from this competition. Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

<b>Invitational Priority: Experimental and Quasi-Experimental Evaluation Designs</b>
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The Secretary is particularly interested in projects proposing an evaluation plan that is based on rigorous scientifically based research methods to assess the effectiveness of a particular intervention. The Secretary intends that grantees responding to this priority will work with the Department to determine whether the project produces meaningful effects on student achievement or teacher performance.

Evaluation methods using an experimental design are best for determining project effectiveness. Thus, when feasible, the project should use an experimental design under which participants—e.g., students, teachers, classrooms, or schools—are randomly assigned to participate in the project activities being evaluated or to a control group that does not participate in the project activities being evaluated. If random assignment is not feasible, the project may use a quasi-experimental design with carefully matched comparison conditions. This alternative design attempts to approximate a randomly assigned control group by matching participants—e.g., students, teachers, classrooms, or schools—with non-participants having similar pre-program characteristics.

In cases where random assignment is not possible and participation in the intervention is determined by a specified cutting point on a quantified continuum of scores, regression discontinuity designs may be employed.

For projects that are focused on special populations in which sufficient numbers of participants are not available to support random assignment or matched comparison group designs, single-subject designs such as multiple baseline or treatment-reversal or interrupted time series that are capable of demonstrating causal relationships can be employed.

Proposed evaluation strategies that use neither experimental designs with random assignment nor quasi-experimental designs using a matched comparison group nor regression discontinuity designs will not be considered responsive to the priority when sufficient numbers of participants are available to support these designs.

Evaluation strategies that involve too small a number of participants to support group designs must be capable of demonstrating the causal effects of an intervention or program on those participants.

The proposed evaluation plan should describe how the project evaluator will collect—before the project intervention commences and after it ends—valid and reliable data that measure the impact of participation in the program or in the comparison group.



In determining the quality of the proposed evaluation method, we will consider the extent to which the applicant presents a feasible, credible plan that includes details such as the following:

- (1) The type of design to be used (that is, random assignment or matched comparison). If matched comparison, include in the plan a discussion of why random assignment is not feasible.
- (2) Outcomes to be measured.
- (3) A discussion of how the applicant plans to assign students, teachers, classrooms, or schools to the project and control group or match them for comparison with other students, teachers, classrooms, or schools.
- (4) A proposed evaluator, preferably independent, with the necessary background and technical expertise to carry out the proposed evaluation. An independent evaluator does not have any authority over the project and is not involved in its implementation.

### **Definitions**

For the purpose of this competition, the terms used in this application have the following definition.

#### Scientifically based research - means

- (A) Research that involves the application of rigorous, systemic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs.
- (B) Research that
  - (i) Employs systemic, empirical methods that draw on observation or experiment;
  - (ii) Involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusion drawn;
  - (iii) Relies on measurement or observational methods or observational methods that provide reliable and valid data across evaluators and observers, across multiple measurements and observations, and across studies by the same or different investigators;
  - (iv) Is evaluated using experimental or quasi-experimental designs in which individuals entities, program, or activities are assigned to different conditions and with appropriate controls to evaluate the effects of the condition of interest, with a preference for random-assignment experiment, or other designs to the extent that those designs contain within-condition or across-condition controls;
  - (v) Ensures that experimental studies are presented in sufficient detail and clarity to allow for replication or, at a minimum, offer the opportunity to build systematically on their findings; and
  - (vi) Has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

Random assignment or experimental design - means random assignment of student, teachers, classrooms, or schools to participate in a project being evaluated (treatment group) or not participate in the project (control group). The effect of the project is the difference in outcomes between the treatment and control groups.

Quasi experimental designs - means include several designs that attempt to approximate a random assignment design.

Carefully matched comparison groups design - means a quasi-experimental design in which the project participants are matched with non-participants based on key characteristics that are thought to be related to the outcome.

Regression discontinuity design - means a quasi-experimental design that closely approximated an experimental design. In a regression discontinuity design, participants are assigned to a treatment or control group based on a numerical rating or score of a variable unrelated to the treatment such as the rating of an application for funding. Eligible students, teachers, classrooms, or schools above a certain score ("cut score") are assigned to the treatment group and those below the score of applicants' proposal for funding, the ("cut Score") are assigned to the treatment group and those below the score are assigned to the control group. In the case of the scores of applicant' proposal for funding, the "cut score" is established at the point where the program funds available are exhausted.

Single subject design - means a design that relies on the comparison of treatment effects on a single subject or group of single subjects. There is little confidence that findings based on this group on this design would be the same for other members of the population.

Treatment reversal design - means a single subject design in which a pre-treatment or baseline outcome measurement is compared with a post-treatment measure. Treatment would then be stopped for a period of time, a second baseline measure of the outcome would then be taken, followed by a second application of the treatment or a different treatment. For example, this design might be used to evaluate a behavior modification program for disabled students with behavior disorders.

Multiple baseline design - means a single subject design to address concerns about the effects of normal development, timing of the treatment, and amount of the treatment with treatment-reversal designs by using a varying time schedule for introduction of the treatment and/or treatments of different lengths of intensity.

Interrupted time series design - means a quasi-experimental design in which the outcome of interest is measured multiple times before and after the treatment for program participation only.

## **SELECTION CRITERIA**

The following selection criteria will be used to evaluate applications. For ease of reading by the reviewers, applicants should develop their narrative description to follow the sequence of criteria provided below. The maximum number of possible points for all selection criteria is 100.

- 1) Quality of the Project Services - 30 points
- 2) Quality of the Project Personnel - 10 points
- 3) Quality of the Project Evaluation - 30 points
- 4) Quality of the Management Plan - 30 points

### **1. Quality of the Project Services (30 points)**

- A. In determining the quality of services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (10 points)
- B. The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services. (10 points)
- C. The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services. (10 points)

**Note:** Reviewers will look for how services provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services, with special regard to students with disabilities (mental or physical).

### **2. Quality of Project Personnel (10 points)**

- A. In determining the quality of project personnel to manage the proposed project, the Secretary will consider the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (5 points)
- B. The qualifications, including relevant training and experience, of key project personnel. (5 points)

**Notes:** Reviewers will look for evidence that the applicant has the personnel qualified to develop, implement, and administer the proposed project, including the project evaluation. If personnel have not been hired, the applicant should provide some job description regarding the duties of the position(s) and qualifications.

### 3. Quality of the Project Evaluation (30 points)

- A. In determining the quality of the project evaluation to be conducted by the proposed project, the Secretary will consider the extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (10 points)
- B. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (10 points)
- C. The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings. (10 points)

**Notes:** Reviewers will look for a detailed description of the evaluation plan that includes the methods to be used to evaluate the outcomes and effectiveness of the project, including the applicant's plan to address the Government Performance and Results (GPRA) measures established for this program. Under this criterion applicants should demonstrate that the proposed project has clear objectives that are based on scientifically based research. Applicants may consider the following factors in identifying their project goals and desired student outcomes: discipline issues; student academic achievement; participation in extracurricular activities; parental and community involvement; faculty and administration involvement; student and staff morale; and overall improvements in school climates for all students, including students with disabilities (including those with mental and physical disabilities).

### 4. Quality of the Management Plan (30 points)

- A. In determining the quality of the management plan to be implemented by the proposed project, the Secretary will consider the adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (15 points)
- B. How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients, students, students with disabilities or beneficiaries of services, or others as appropriate. (15 points)

**Notes:** Under this criterion applicants should describe partnerships or collaborative efforts among the organizations and entities of the grantees and how parents, students and members of the community are involved in the design and implementation of the program. Applicants should also describes the curriculum and instructional practice that will be used or developed; methods of teacher training and parent education that will be used or developed; and how the program for which the grant is sought will be linked to other efforts to improve academic achievement. Applicants that are SEAs should also describe how they will provide technical and professional assistance to LEA partners in the development and implementation of character education program; and will assist

other interested local educational agencies that are not members of the original partnership in designing and establishing character education programs.

## VII. APPLICATION CONTENTS

### Preparing the Application

A completed application for assistance under this competition consists of two parts: (1) a detailed narrative description of the proposed project and budget, and (2) completed forms for assurances and certifications that must be submitted in order to receive a grant. An application under this program should address the specific needs of the applicant and propose activities specifically designed to meet those needs. We strongly discourage applicants from using “form” applications or proposals that address general rather than specific local needs. Identical or substantially similar applications are not responsive to the scoring criteria.

A panel of non-federal readers with experience in character education will review each eligible application submitted by the deadline. The panel will award points ranging from 0 to 100 to each application depending on how well the selection criteria are addressed. Be sure you provide a comprehensive response to each factor under each selection criterion. Applications that fail to do so will be read, but our experience suggests they may not score well enough to be funded.

### Organizing the Electronic Application

If you choose to submit your application electronically, you must use the Grants.gov site at <http://www.Grants.gov>. Please go to <http://www.grants.gov/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage <http://www.grants.gov>.

**1. Application for Federal Education Assistance (ED Form 424):** Or complete the SF424 and Supplement if you are applying electronically via Grants.gov.

**2. Table of Contents:** For applications submitted electronically via Grants.gov, attach the Table of Contents to the Project Narrative Attachment Form.

**3. Abstract:** For applications submitted electronically via Grants.gov, attach the Abstract under the ED Abstract Form.

**4. Project Narrative:** For applications submitted electronically via Grants.gov, attach the Project Narrative to the Project Narrative Attachment form.

**5. Budget Information Form (ED Form 524):** Applicants must complete ED Form 524, Sections A, and (as applicable) Section B. Provide line item amounts for major budget categories. Follow instructions for ED FORM 524.

**6. Budget Narrative:** For applications submitted electronically via Grants.gov, attach the Budget Narrative to the Budget Narrative Attachment Form.

The Budget Information Form and accompanying narrative should provide enough detail for ED staff to easily understand how costs were determined and if the budget is commensurate with the scope of the project. Applicants must submit separate detailed budgets for each year as shown on the Budget Information Form.

For this grant competition, you may charge indirect costs using the rate negotiated with your federal agency (e.g., Department of Education). Be sure to include evidence of a federally negotiated indirect cost rate.

You are encouraged to give priority to direct services to students by limiting the indirect costs charged to the project. You will not be penalized for failure to reduce indirect costs nor will you gain competitive advantage if you do.

**7. Appendices:** For applications submitted electronically via Grants.gov, attach all appendices under the Other Attachment form. Other information the applicant wishes to include in support of its capacity, experience, and readiness to undertake the proposed project, including:

- Resumes of key personnel. If personnel have yet to be hired for this proposed project, include a narrative description of expected staff qualifications.
- Letters of commitment that reflect each person's understanding of their role in the proposed project. Each letter should indicate a willingness to put forth the necessary time and effort to make the project work efficiently and effectively.
- Relevant prior grant experience.

**8. Assurances and Certifications:** Applicants must complete all the required assurances and forms, with signatures as required. (See attached list of assurances and certifications for electronic submission.) If you are submitting your application via Grants.gov, please fax your required signature pages to the Office of Safe and Drug-Free Schools, Attn: Sharon Burton at (202) 205-5722.

**9. Notification of Award:** The review of applications and notification of awards for this grant competition requires approximately 6 to 8 weeks. Unsuccessful applicants will be notified at the end of the competition.

### **Organizing the Paper Application**

Applicants that submit a paper application should adhere to the following guidelines:

- Submit your application on 8 ½" by 11" paper with a 1-inch margin on all sides.
- Use consistent font no smaller than 12-point type throughout your document. You may use boldface type, underlining, and italics; however, do not use colored text.
- For the project narrative, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation.
- Place a page number at the bottom right of each page beginning with 1, and number your pages consecutively throughout your document, beginning with the Abstract.

Applicants should organize the information in their application in the following order.

**1. Application for Federal Education Assistance (ED Form 424):** This is the title page of your application. Be sure that Item 4 identifies the CFDA Number for this grant competition: 84.215S. Under Item 13, indicate whether proposed activities include human subjects research, and if so, whether any or all of the proposed activities are exempt. For additional guidance, visit [www.ed.gov/policy/fund/guid/humansub/overview.html](http://www.ed.gov/policy/fund/guid/humansub/overview.html) or call ED's protection of human subjects coordinator at (202) 245-6153.

**2. Table of Contents:** A Table of Contents with page references should be included.

**3. Abstract:** The abstract is a key element and should include a brief narrative describing: (1) a brief summary of the project goals and objectives and (2) the intended outcomes of the project. The abstract should include a concise, one-page, double-spaced abstract following the Table of Contents. The page should be clearly marked with the applicant's name as shown in Item 1 of ED Form 424.

**4. Project Narrative:** The narrative must contain evidence that the applicant meets the absolute priority, and should contain and follow in sequence the information requested for each selection criterion. This section should be no more than 25 double-spaced typewritten pages.

**5. Budget Information Form (ED Form 524):** The form provided in Section IX, of this application package, should be used to prepare a budget for the project.

**6. Budget Narrative:** You must include a detailed budget narrative that supports and explains the information provided in ED Form 524. Use the same budget categories as those on ED Form 524 and explain the basis used to estimate costs for all budget categories, and how the cost items relate to the proposed project's goals, objectives, and activities. All expenditures must be necessary to carry out the goals and objectives of the project, reasonable for the scope and complexity of the project, and allowable under the terms and conditions of the grant and in accordance with government cost principles.

The Budget Information Form and accompanying narrative should provide enough detail for ED staff to easily understand how costs were determined and if the budget is commensurate with the scope of the project. Applicants must submit separate detailed budgets for each year as shown on the Budget Information Form.

For this grant competition, you may charge indirect costs using the rate negotiated with your federal agency (e.g., Department of Education). Be sure to include evidence of a federally negotiated indirect cost rate.

You are encouraged to give priority to direct services to students by limiting the indirect costs charged to the project. You will not be penalized for failure to reduce indirect costs nor will you gain competitive advantage if you do.



**7. Appendices:** This section includes forms required by ED in order for an application to be eligible for funding, as well as any other information that applicants may choose to submit in support of their capacity and preparation to undertake the proposed project. The following items are **not** part of the appendices and may not be included:

- Budget or program narrative information that the applicant wishes to have reviewed as part of its response to one or more scoring criteria—all such information must be included in the narrative portion of the application.
- Videotapes, CD-ROMs, photographs, or floppy disks will not be reviewed or returned.

The Appendix section **must** include the following:

- ED Form 524
  - Section A, Budget Summary, U.S. Department of Education Funds
  - Section B, Budget Summary, Non-Federal Funds (if appropriate)
  - Section C, Budget Narrative
- Assurances/Certifications
  - Assurances, Non-Construction Programs (Standard Form, 424B)
  - Certification Regarding Lobbying (ED Form 80-0013)
  - Disclosure of Lobbying Activities (Standard Form-LLL)
  - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions (ED Form 80-0014)
- GEPA 427, Equitable Access to and Participation in Federally Assisted Programs
- Survey on Ensuring Equal Opportunity for Applicants (private, nonprofit organizations only)
- Letter of Transmittal to State Single Point of Contact (if your State participates)
- Proof of federally negotiated indirect cost rate (if you are claiming indirect costs)

The Appendix section **may** include other information the applicant wishes to provide in support of its capacity, experience, and readiness to undertake the proposed project, including:

- Resumes of key personnel. If personnel have yet to be hired for this proposed project, include a narrative description of expected staff qualifications.
- Letters of commitment that reflect each person's understanding of their role in the proposed project. Each letter should indicate a willingness to put forth the necessary time and effort to make the project work efficiently and effectively.
- Relevant prior grant experience.

**8. Assurances and Certifications:** Standard Form 424B, ED Form 80-0013, and ED Form 80-0014 must be signed with the original signature of the person authorized to sign for the institution, and must be included in the application package. If you are submitting an application by Grants.gov, you must fax the required signature pages to the Office of Safe and Drug-Free Schools, Attn: Sharon Burton at (202) 205-5722. **Note:** If 1(b) of Form 80-0013 applies because of lobbying activities related to a previous grant, or are anticipated to occur with this project if it is funded, you must submit Standard Form LLL. If your organization does not engage in lobbying, please submit Standard Form LLL and indicate as “Not Applicable.”

**9. Notification of Award:** The review of applications and notification of awards for this grant competition requires approximately 6 to 8 weeks. Unsuccessful applicants will be notified at the end of the competition.

### **General Education Provisions Act (GEPA) Section 427**

Section 427 of GEPA affects applicants for new discretionary grant awards under this program. All applicants for new awards must include information in their applications to address this provision, summarized below, in order to receive funding under this program.

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability, or age*. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, or others from equitable access or participation. Your description need not be lengthy. You may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

**NOTE: A general statement of an applicant’s nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.**

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the federal funds awarded to eliminate barriers it identifies.

## Examples

The following examples help illustrate how an applicant may comply with section 427.

1. An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
2. An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in Braille for students who are visually impaired.
3. An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course might indicate how it intends to conduct “outreach” efforts to girls to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

## Estimated Public Reporting Burden

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the GEPA 427 is OMB No.1890-0007. The time required to complete GEPA 427 is estimated to average 1.5 hours per response, including the time to review instructions, search existing data sources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: U.S. Department of Education, Office of Safe and Drug-Free Schools, 400 Maryland Avenue, SW, Washington, DC 20202-6450.

## **VIII. APPLICATION SUBMISSION PROCEDURES**

### **Application Transmittal Instructions**

**ATTENTION ELECTRONIC APPLICANTS:** Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

### **Applications Submitted Electronically**

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date.

If you submit your application through the Internet via the Grants.gov Apply Web site, you will receive an automatic acknowledgment when we receive your application.

For more information on using Grants.gov, please refer to the Notice Inviting Applications that was published in the Federal Register, the Grants.gov Submission Procedures and Tips document found in the application package instructions, and visit <http://www.grants.gov>.

### **Applications Sent by Mail**

You must mail the original and two copies of the application on or before the deadline date to. Please mail copies to:

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 84.215S  
400 Maryland Avenue, SW  
Washington, DC 20202 - 4260**

You must show one of the following as proof of mailing:

- (1) A legibly dated U. S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U. S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Services.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

**Applications Delivered by Commercial Carrier:**

**Special Note:** Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; or U. S. Postal Service Express Mail) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the mailing instructions under the appropriate delivery method.

Applications that are delivered by commercial carrier, such as Federal Express, United Parcel Service, etc. should be mailed to the:

**U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CFDA# 84.215S  
7100 Old Landover Road  
Landover, MD 20785-1506**

**Applications Delivered by Hand**

You or your courier must hand deliver the original and number of copies requested of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date.

**(Optional)** – To help expedite our review of your application, we would appreciate your voluntarily including an additional 2 copies of your application.

**Please hand deliver copies to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 84.215S  
550 12<sup>th</sup> Street, SW  
PCP - Room 7041  
Washington, DC 20202 – 4260**

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays and Federal holidays.

## IX. INTERGOVERNMENTAL REVIEW

This grant competition is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR Part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive Order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each State under the Executive Order. The name and address of each State Single Point of Contact is listed below. **Note: A copy of the applicant's letter to the State Single Point of Contact must be included with their application.**

In States that have not established a process or chosen a program for review, State, area-wide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, area-wide, regional, and local entities must be received by June 12, 2006 at the following address: The Secretary, EO 12372—CFDA #84.215S, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7W300, Washington, DC 20202-0124. Recommendations or comments may be hand-delivered until 4:30 p.m. (Eastern Time) on June 12, 2006. Please do not send applications to this address.

States that are not listed have chosen not to participate in the intergovernmental review process, and therefore do not have a State Single point of Contact. If you are located within one of these States, you are exempt from this requirement.

### STATE SINGLE POINT OF CONTACT

<b><u>ARKANSAS</u></b> Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Admin. 1515 W. 7th St., Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 Fax: (501) 682-5206 <a href="mailto:tlcopeland@dfa.state.ar.us">tlcopeland@dfa.state.ar.us</a>	<b><u>CALIFORNIA</u></b> Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 Fax: (916) 323-3018 <a href="mailto:state.clearinghouse@opr.ca.gov">state.clearinghouse@opr.ca.gov</a>
<b><u>DELAWARE</u></b> Ellen P. McDowell Federal Aid Coordinator Office of Management and Budget 540 S. Dupont Highway, 3rd Floor Dover, Delaware 19901 Telephone: (302) 739-3327 Fax: (302) 739-5661 <a href="mailto:ellen.mcdowell@state.de.us">ellen.mcdowell@state.de.us</a>	<b><u>DISTRICT OF COLUMBIA</u></b> Marlene Jefferson Office of Partnerships and Grants Development Executive Office of the Mayor District of Columbia Government 441 4th Street, NW Washington, DC 20001 Telephone: (202) 727-6516 Fax: (202) 727-1652 <a href="mailto:marlene.jefferson@dc.gov">marlene.jefferson@dc.gov</a>

**FLORIDA**

Lauren P. Milligan  
 Florida State Clearinghouse  
 Florida Dept. of Environmental Protection  
 3900 Commonwealth Blvd., Mail Station  
 47  
 Tallahassee, Florida 32399-3000  
 Telephone: (850) 245-2161  
 Fax: (850) 245-2190  
[Lauren.Milligan@dep.state.fl.us](mailto:Lauren.Milligan@dep.state.fl.us)

**GEORGIA**

Barbara Jackson  
 Georgia State Clearinghouse  
 270 Washington Street, SW, 8<sup>th</sup> Floor  
 Atlanta, Georgia 30334  
 Telephone: (404) 656-3855  
 Fax: (404) 656-7916  
[gach@mail.opb.state.ga.us](mailto:gach@mail.opb.state.ga.us)

**ILLINOIS**

Roukaya McCaffrey  
 Department of Commerce and  
 Economic Opportunities  
 620 East Adams, 6th Floor  
 Springfield, Illinois 62701  
 Telephone: (217) 524-0188  
 Fax (217) 558-0473  
[roukaya\\_mccaffrey@illinoisbiz.biz](mailto:roukaya_mccaffrey@illinoisbiz.biz)

**IOWA**

Kathy Mabie  
 Iowa Department of Economic Development  
 State Capitol Building, Room G12  
 1007 East Grand Avenue  
 Des Moines, Iowa 50319  
 Telephone: (515) 281-8834  
 Fax: (515) 242-5897  
[kathy.mabie@iowa.gov](mailto:kathy.mabie@iowa.gov)

**KENTUCKY**

Ron Cook  
 Department for Local Government  
 1024 Capital Center Drive, Suite 340  
 Frankfort, Kentucky 40601  
 Telephone: (502) 573-2382  
 Fax: (502) 573-2512  
[ron.cook@ky.gov](mailto:ron.cook@ky.gov)

**MAINE**

Joyce Benson  
 State Planning Office  
 184 State Street  
 38 State House Station  
 Augusta, Maine 04333  
 Telephone: (207) 287-3261  
 (direct) (207) 287-1461  
 Fax: (207) 287-6489  
[joyce.benson@state.me.us](mailto:joyce.benson@state.me.us)

**MARYLAND**

Linda C. Janey, J.D.  
 Director, Maryland State  
 Clearinghouse for Intergovernmental  
 Review  
 301 West Preston Street, Room 1104  
 Baltimore, Maryland 21201-2305  
 Telephone: (410) 767-4490  
 Fax: (410) 767-4480  
[ljaney@mdp.state.md.us](mailto:ljaney@mdp.state.md.us)

**MICHIGAN**

Richard Pfaff  
 Southeast Michigan Council of Governments  
 535 Griswold, Suite 300  
 Detroit, Michigan 48226  
 Telephone: (313) 961-4266  
 Fax: (313) 961-4869  
[pfaff@semcog.org](mailto:pfaff@semcog.org)

**MISSISSIPPI**

Janet Riddell  
 Clearinghouse Officer  
 Department of Finance and Administration  
 1301 Woolfolk Building, Suite E  
 501 North West Street  
 Jackson, Mississippi 39201  
 Telephone: (601) 359-6762  
 Fax: (601) 359-6758  
[jriddell@dfa.state.ms.us](mailto:jriddell@dfa.state.ms.us)

**MISSOURI**

Angela Boessen  
 Federal Assistance Clearinghouse  
 Office of Administration  
 P.O. Box 809  
 Truman Building, Room 840  
 Jefferson City, Missouri 65102  
 Telephone: (573) 751-4834  
 Fax: (573) 522-4395  
[igr@mail.ia.state.mo.us](mailto:igr@mail.ia.state.mo.us)

**NEVADA**

Kimberly Perondi  
 Department of Administration  
 State Clearinghouse  
 209 E. Musser Street, Room 200  
 Carson City, Nevada 89701  
 Telephone: (775) 684-0209  
 Fax: (775) 684-0260  
[kperondi@budget.state.nv.us](mailto:kperondi@budget.state.nv.us)

**NEW HAMPSHIRE**

MaryAnn Manoogian  
 Director, New Hampshire Office of State Planning  
 Attn: Intergovernmental Review Process  
 57 Regional Drive  
 Concord, New Hampshire 03301  
 Telephone: (603) 271-2155  
 Fax: (603) 271-2615  
[irp@nh.gov](mailto:irp@nh.gov)

**NEW YORK**

Linda Shkreli  
 Office of Public Security  
 Homeland Security Grants Coordination  
 633 3rd Avenue

**NORTH DAKOTA**

Jim Boyd  
 North Dakota Department of Commerce  
 1600 East Century Avenue, Suite 2  
 P.O. Box 2057

New York, NY 10017 Telephone: (212) 867-1289 Fax: (212) 867-1725	Bismarck, North Dakota 58505-2057 Telephone: (701) 328-2676 Fax: (701) 328-2308 <a href="mailto:jboyd@state.nd.us">jboyd@state.nd.us</a>
<b><u>RHODE ISLAND</u></b> Joyce Karger Department of Administration One Capitol Hill Providence, Rhode Island 02908-5870 Telephone: (401) 222-6181 Fax: (401) 222-2083 <a href="mailto:jkarger@doa.state.ri.us">jkarger@doa.state.ri.us</a>	<b><u>SOUTH CAROLINA</u></b> Jean Ricard Office of State Budget 1201 Main Street, Suite 870 Columbia, South Carolina 29201 Telephone: (803) 734-1314 Fax: (803) 734-0645 <a href="mailto:jricard@budget.sc.gov">jricard@budget.sc.gov</a>
<b><u>TEXAS</u></b> Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 Fax: (512) 936-2681 <a href="mailto:dfrancis@governor.state.tx.us">dfrancis@governor.state.tx.us</a>	<b><u>UTAH</u></b> Sophia DiCaro Utah State Clearinghouse Governor's Office of Planning and Budget State Capitol, Suite E210 P.O. Box 144210 Salt Lake City, Utah 84114 Telephone: (801) 538-1027 Fax: (801) 538-1547 <a href="mailto:sdicaro@utah.gov">sdicaro@utah.gov</a>
<b><u>AMERICAN SAMOA</u></b> Pat M. Galea'i Office of Federal Programs/Office of the Governor Department of Commerce American Samoa Government Pago Pago, American Samoa 96799 Telephone: (684) 633-5155 Fax: (684) 633-4195 <a href="mailto:pmgaleai@samoatelco.com">pmgaleai@samoatelco.com</a>	<b><u>GUAM</u></b> Director Bureau of Budget and Mgmt. Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 Fax: 011-472-2825 <a href="mailto:jer@ns.gov.gu">jer@ns.gov.gu</a>
<b><u>NORTH MARIANA ISLANDS</u></b> Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 Fax: (670) 664-2272 <a href="mailto:omb.jseman@saipan.com">omb.jseman@saipan.com</a>	<b><u>PUERTO RICO</u></b> Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 Fax: (787) 722-6783
<b><u>VIRGIN ISLANDS</u></b> Ira Mills Director, Office of Management and Budget #41 Norre Gade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 Fax: (340) 776-0069 <a href="mailto:irmills@usvi.org">irmills@usvi.org</a>	



Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to [grants@omb.eop.gov](mailto:grants@omb.eop.gov). If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management  
Office of Management and Budget  
New Executive Office Building, Suite 6025  
725 17<sup>th</sup> Street, NW  
Washington, DC 20503

**Please note:** Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address above. The best source for this information is the Catalog of Federal Domestic Assistance.

## **X. FREQUENTLY ASKED QUESTIONS**

### **What steps can I take to maximize my chances of receiving a grant?**

- Before preparing your application, read the application package carefully and completely.
- Follow all of the instructions exactly.
- If you're uncertain about any aspects of this application package, contact the competition manager for clarification.
- Absolute priorities establish the parameters for applications under a grant competition. If your application does not meet the absolute priority for this grant competition, it will not be considered for funding.
- A panel of three persons from the character and civic education fields will review your application. Be sure to organize your application clearly, provide requested information in a comprehensive manner, and respond to each selection criterion thoroughly. Reviewers are not allowed to give you "the benefit of the doubt"; therefore, if it is not in your application, they cannot award points for it.
- Be sure that your application includes a budget request (ED Form 524) and complete narrative justification for each project year for which funding is requested.
- Be sure to mail in or transmit (via Grant.gov) your application on or before the deadline date of April 10, 2006.

### **What is the purpose of this grant competition?**

- The purpose of this program is to provide grants to eligible entities to assist them in designing and implementing character education programs that teach students any of the following elements of character: caring, civic virtues and citizenships, justice and fairness, respect, responsibility, trustworthiness, giving or any other elements deemed appropriate by the eligible entity, having taken in consideration the view of parents and students. The character education programs supported must be programs that can be integrated in classroom instruction; are consistent with state academic content standards; can be carried out in conjunction with other educational reform efforts; and provide program activities that include parents, students, students with disabilities (including those with mental or physical disabilities, and other members of the community in the design and implementation.

### **How much money is available under this grant competition?**

- It is estimated that \$16,000,000 will be available in FY2006 for this competition.

**How many new awards will be made?**

- It is estimated that 35 new awards will be made for SEAs and LEAs.

**What is the average amount of each grant?**

- SEA projects will be funded for approximately \$500,000-\$750,000 for each 12-month budget period. LEA projects will be funded for approximately \$250,000 to \$500,000 for each 12-month period. SEAs must submit a proposed budget of not less than \$500,000 for each budget period or will not be considered. This is not a requirement for LEAs. These figures are only estimates and do not bind the U.S. Department of Education to a specific number of grants or amount of any grant.

**Why has the estimated range for awards for SEAs and LEAs increased from previous character education grants?**

- The invitational priority for the program encourages applicants to implement experimental and quasi-experimental evaluation designs for the projects. The department recognizes these are costly strategies and has established a larger estimated range of award amounts to accommodate applicants who plan to implement one of these designs.

**Is there a matching requirement for this grant program?**

- No. The Secretary has elected not to require applicants to require matching funds for this program.

**Can grant funds be used to support professional development activities?**

- Yes, as long as the activities directly support the purposes of the grant.

**What is the project and budget period for these grants?**

- Up to 48 months, of which no more than 12 months may be used for planning and program design.

**What is the deadline date for applications under this grant competition?**

- April 10, 2006.

**May I get an extension of the deadline date?**

- Under extra ordinary circumstances, the Department may change the closing date for a competition. Notice of all such changes will be announced in the Federal Register. Waivers for individual applications failing to meet the deadline will not be granted, except in the circumstances described in the Grants.gov website.

## Who is eligible to apply?

- Eligible applicants under this grant competition include the following:
  - (A.) An SEA in partnership with one or more LEAs;
  - (B.) An SEA in partnership with one or more LEAs and nonprofit organizations or entities, including an institution of higher education (IHE); an LEA or consortium of LEAs; or
  - (C.) An LEA or consortium of LEAs;
  - (D.) An LEA in partnership with one or more nonprofit organizations or entities, including an IHE.

## Does my application have to address the invitational priority?

- No. While we are interested in receiving applications that propose evaluation plans that are based on rigorous evidence-based research methods that assess the effectiveness of a particular intervention, it is not necessary to address the invitational priority. **However, in order for your application to be considered, it must address the absolute priority.**

## What kinds of activities are likely to be “human subjects research”?

- ED’s regulations for the protection of human subjects, 34 CFR Part 97, defines research as a systematic investigation (including program evaluation) designed to develop or contribute to general knowledge. A “systematic” investigation typically uses scientific methods (such as adequate sample sizes, surveys, control groups, and/or randomization). Research becomes “human subjects” research when the researcher obtains data about an individual through an purposes. For additional information on human subjects research go to:  
<http://www.ed.gov/about/offices/list/ocfo/humansub.html>.

## If “human subjects research” activities are planned, what should the applicant do?

- Grants under this program that involve nonexempt human subjects research will need to obtain a federal wide assurance to abide by the Department’s regulations for protection of human subjects in research and be reviewed by an Institutional Review Board (IRB) before beginning non-exempt activities. An IRB is a special panel responsible for protecting the rights and welfare of human research subjects. While not every program will require IRB review, applicants should consult early on with someone knowledgeable in the field of human subjects research to determine whether or not the project requires IRB review.
- A registry of Institutional Review Boards is available online at the Department of Health and Human Services’ Office for Human Research Protection website, <http://ohrp.cit.nih.gov/search/asearch.asp#ASUR>. Applicants who programs require review by an IRB should budget appropriate costs into their application. If an applicant fails to budget ahead of time for IRB review and then discovers later that IRB approval is needed, no additional grant funds will be awarded for the review. For additional information about human research subjects and the need

- for IRB approval, please reference the Department of Education's website for Grants Policy and Oversight Staff at :  
<http://www.ed.gov/about/offices/list/ocfo/humansub.html>.
- If you have any questions about your responsibilities under these requirements, you may contact ED's Protection of Human Subjects Coordinator at (202) 245-6153.

### **How should we determine the elements of character to be taught in our program?**

- Each eligible entity awarded a grant under this competition may select the elements of character that will be taught under the program for which the grant was awarded. In selecting elements of character, the grantee should consider the views of the parents, students and the community.
- Example elements of character that may be used include any of the following:
  - ✓ Caring
  - ✓ Civic virtue and citizenship
  - ✓ Justice and fairness
  - ✓ Respect
  - ✓ Responsibility
  - ✓ Trustworthiness
  - ✓ Giving
  - ✓ Any other elements deemed appropriate by the grantee

### **What information should I include in my application?**

- Complete instructions are given in the application package. Requested information includes:
  - ✓ an established set of specific and measurable goals and objectives linked to identified needs;
  - ✓ program activities that research or evaluation has shown to be effective in character education; and
  - ✓ evaluation methods to refine, improve, and strengthen the program and refine goals and objectives as appropriate.

### **How does the Freedom of Information Act affect my application?**

- The Freedom of Information Act (FOIA) was enacted in 1966 and provides that any person has the right to request access to Federal agency records or information. All agencies of the U.S. Government are required to disclose records upon receiving a written request for them, except for those records that are protected from disclosure by the nine exemptions listed in the FOIA. All applications submitted for funding consideration under this grant competition are subject to the FOIA. To read the text of the Freedom of Information Act, visit [www.usdoj.gov/04foia/foiastat.htm](http://www.usdoj.gov/04foia/foiastat.htm).

**Does the Department of Education require an independent third party evaluation or principal investigator?**

- No. Although a project evaluation is required, an independent third party evaluation or principal investigator is not. As long as the proposed evaluator has the necessary background and technical expertise to carry out the required evaluation, an application is technically eligible for funding. **However, please note that the quality of the proposed project evaluation is a key part of the selection criteria used to evaluate all applications submitted.** When possible, the Department prefers independent third party evaluations and independent principal investigators—meaning that the principal investigator has no authority over the project and is not involved in its implementation—because these design features help ensure that the evaluation will provide an objective and reliable basis for examining overall project effectiveness.

**Does the Department of Education require that research findings be disseminated?**

- No. Research findings do not have to be disseminated by grantees. However, if funded, applicants are requested to collect and report data to the Department on evaluation outcomes in required annual performance reports and at the completion of the grant.

**Who do I contact for more information about this grant competition?**

- Sharon J. Burton, Education Program Specialist, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E322, Washington, DC 20202, Phone: 202/205-8122, Fax: 202/260-7767, E-mail: [Sharon.Burton@ed.gov](mailto:Sharon.Burton@ed.gov)

## **XI. Authorizing Legislation**

**The Elementary and Secondary Education Act of 1965  
As amended by the  
No Child Left Behind Act of 2001  
(P.L. 107-110)**

Title V, Part D, Subpart 3, Sec. 5431—Partnerships in Character Education Program

**(a) PROGRAM AUTHORIZED-**

(1) **IN GENERAL-** The Secretary is authorized to award grants to eligible entities for the design and implementation of character education programs that —

(A) are able to be integrated into classroom instruction and to be consistent with State academic content standards; and

(B) are able to be carried out in conjunction with other educational reform efforts.

(2) **ELIGIBLE ENTITY-** In this section, the term eligible entity' means —

(A) a State educational agency in partnership with —

(i) one or more local educational agencies; or

(ii) one or more —

(I) local educational agencies; and

(II) nonprofit organizations or entities, including an institution of higher education;

(B) a local educational agency or consortium of local educational agencies; or

(C) a local educational agency in partnership with one or more nonprofit organizations or entities, including an institution of higher education.

(3) **DURATION-** Each grant under this section shall be awarded for a period not to exceed 5 years, of which the eligible entity may not use more than 1 year for planning and program design.

(4) **AMOUNT OF GRANTS FOR STATE EDUCATIONAL AGENCIES-**

Subject to the availability of appropriations, the amount of a grant made by the Secretary to a State educational agency under this section shall not be less than \$500,000 if the State educational agency —

(A) is in a partnership described in paragraph (2)(A); and

(B) meets such requirements as the Secretary may establish under this section.

**(b) CONTRACTS UNDER PROGRAM-**

(1) **EVALUATION-** Each eligible entity awarded a grant under this section may contract with outside sources, including institutions of higher education and private and nonprofit organizations, for the purposes of —

(A) evaluating the program for which the assistance is made available;

(B) measuring the integration of such program into the curriculum and teaching methods of schools where the program is carried out; and

(C) measuring the success of such program in fostering the elements of character selected by the recipient under subsection (c).

(2) **MATERIALS AND PROGRAM DEVELOPMENT-** Each eligible entity awarded a grant under this section may contract with outside sources, including

institutions of higher education and private and nonprofit organizations, for assistance in —

- (A) developing secular curricula, materials, teacher training, and other activities related to character education; and
- (B) integrating secular character education into the curricula and teaching methods of schools where the program is carried out.

(c) ELEMENTS OF CHARACTER-

(1) SELECTION-

(A) IN GENERAL- Each eligible entity awarded a grant under this section may select the elements of character that will be taught under the program for which the grant was awarded.

(B) CONSIDERATION OF VIEWS- In selecting elements of character under subparagraph (A), the eligible entity shall consider the views of the parents of the students to be taught under the program and the views of the students.

(2) EXAMPLE ELEMENTS- Elements of character selected under this subsection may include any of the following:

- (A) Caring.
- (B) Civic virtue and citizenship.
- (C) Justice and fairness.
- (D) Respect.
- (E) Responsibility.
- (F) Trustworthiness.
- (G) Giving.
- (H) Any other elements deemed appropriate by the eligible entity.

(d) USE OF FUNDS BY STATE EDUCATIONAL AGENCY RECIPIENTS- Of the total funds received in any fiscal year under this section by an eligible entity that is a State educational agency —

(1) not more than 3 percent of such funds may be used for administrative purposes; and

(2) the remainder of such funds may be used for —

- (A) collaborative initiatives with and between local educational agencies and schools;
- (B) the preparation or purchase of materials, and teacher training;
- (C) providing assistance to local educational agencies, schools, or institutions of higher education; and
- (D) technical assistance and evaluation.

(e) APPLICATION-

(1) IN GENERAL- Each eligible entity desiring a grant under this section shall submit an application to the Secretary at such time and in such manner as the Secretary may require.

(2) REQUIRED INFORMATION- Each application for a grant under this section shall include (together with any other information that the Secretary may require) information that —

- (A) demonstrates that the program for which the grant is sought has clear objectives that are based on scientifically based research;
- (B) describes any partnerships or collaborative efforts among the organizations and entities of the eligible entity;



(C) describes the activities that will be carried out with the grant funds and how such activities will meet the objectives described in subparagraph (A), including —

- (i) how parents, students, students with disabilities (including those with mental or physical disabilities), and other members of the community, including members of private and nonprofit organizations, will be involved in the design and implementation of the program and how the eligible entity will work with the larger community to increase the reach and promise of the program;
- (ii) curriculum and instructional practices that will be used or developed; and
- (iii) methods of teacher training and parent education that will be used or developed;

(D) describes how the program for which the grant is sought will be linked to other efforts to improve academic achievement, including —

- (i) broader educational reforms that are being instituted by the eligible entity or its partners; and
- (ii) State academic content standards;

(E) in the case of an eligible entity that is a State educational agency, describes how the State educational agency —

- (i) will provide technical and professional assistance to its local educational agency partners in the development and implementation of character education programs; and
- (ii) will assist other interested local educational agencies that are not members of the original partnership in designing and establishing character education programs;

(F) describes how the eligible entity will evaluate the success of its program —

- (i) based on the objectives described in subparagraph (A); and
- (ii) in cooperation with any national evaluation conducted pursuant to subsection (h)(2)(B)(iii); and

(G) assures that the eligible entity annually will provide to the Secretary such information as may be required to determine the effectiveness of the program.

(f) SELECTION OF RECIPIENTS-

(1) PEER REVIEW-

(B) IN GENERAL- In selecting eligible entities to receive grants under this section from among the applicants for such grants, the Secretary shall use a peer review process that includes the participation of experts in the field of character education and development.

(B) USE OF FUNDS- The Secretary may use funds appropriated under this section for the cost of carrying out peer reviews under this paragraph.

(2) SELECTION CRITERIA- Each selection under paragraph (1) shall be made on the basis of the quality of the application submitted, taking into consideration such factors as —

(A) the extent to which the program fosters character in students and the potential for improved student academic achievement;

- (B) the extent and ongoing nature of parental, student, and community involvement;
  - (C) the quality of the plan for measuring and assessing success; and
  - (D) the likelihood that the objectives of the program will be achieved.
- (3) **EQUITABLE DISTRIBUTION-** In making selections under this subsection, the Secretary shall ensure, to the extent practicable under paragraph (2), that the programs assisted under this section are equitably distributed among the geographic regions of the United States, and among urban, suburban, and rural areas.
- (g) **PARTICIPATION BY PRIVATE SCHOOL CHILDREN AND TEACHERS-** Each eligible entity that receives a grant under this section shall provide, to the extent feasible and appropriate, for the participation in programs and activities under this section of students and teachers in private elementary schools and secondary schools.
- (h) **EVALUATION AND PROGRAM DEVELOPMENT-**
  - (1) **STATE AND LOCAL REPORTING AND EVALUATION-** Each eligible entity receiving a grant under this section shall submit to the Secretary a comprehensive evaluation of the program assisted under this section, including its impact on students, students with disabilities (including those with mental or physical disabilities), teachers, administrators, parents, and others —
    - (A) by the end of the second year of the program; and
    - (B) not later than 1 year after completion of the grant period.
  - (2) **NATIONAL RESEARCH, DISSEMINATION, AND EVALUATION-**
    - (A) **IN GENERAL-**
      - (i) **AUTHORIZATION-** The Secretary is authorized to award grants to, or enter into contracts or cooperative agreements with, State educational agencies or local educational agencies, institutions of higher education, tribal organizations, or other public or private agencies or organizations to carry out research, development, dissemination, technical assistance, and evaluation activities that support or inform State and local character education programs.
      - (ii) **RESERVATION OF FUNDS-** The Secretary shall reserve not more than 5 percent of the funds made available under this section to carry out this paragraph.
    - (B) **USES-** Funds made available under subparagraph (A) may be used for the following:
      - (i) Conducting research and development activities that focus on matters such as —
        - (I) the extent to which schools are undertaking character education initiatives;
        - (II) the effectiveness of instructional models for all students, including students with disabilities (including those with mental or physical disabilities);
        - (III) materials and curricula for use by programs in character education;
        - (IV) models of professional development in character education;

- (V) the development of measures of effectiveness for character education programs (which may include the factors described in paragraph (3)); and
  - (VI) the effectiveness of State and local programs receiving funds under this section.
- (ii) Providing technical assistance to State and local programs, particularly on matters of program evaluation.
  - (iii) Conducting evaluations of State and local programs receiving funding under this section, that may be conducted through a national clearinghouse under clause (iv).
  - (iv) Compiling and disseminating, through a national clearinghouse or other means —
    - (I) information on model character education programs;
    - (II) information about high quality character education materials and curricula;
    - (III) research findings in the area of character education and character development; and
    - (IV) any other information that will be useful to character education program participants nationwide, including educators, parents, and administrators.
- (C) PARTNERSHIPS- In carrying out national activities under this paragraph, the Secretary may enter into partnerships with national nonprofit character education organizations and institutions of higher education with expertise and successful experience in implementing —
- (i) character education programs that had an effective impact on schools, students, students with disabilities (including those with mental or physical disabilities), and teachers; or
  - (ii) character education program evaluation and research.
- (D) PARTNERSHIP FOR ACTIVITIES UNDER SUBPARAGRAPH (B)(iv)- In carrying out national activities under subparagraph (B)(iv), the Secretary may enter into a partnership with a national nonprofit character education organization that will disseminate information to educators, parents, administrators, and others nationwide, including information about the range of model character education programs, materials, and curricula.
- (E) REPORT- Each entity awarded a grant or entering into a contract or cooperative agreement under this paragraph shall submit an annual report to the Secretary that —
- (i) describes the entity's progress in carrying out research, development, dissemination, evaluation, and technical assistance under this paragraph;
  - (ii) identifies unmet and future information needs in the field of character education; and
  - (iii) if applicable, describes the progress of the entity in carrying out the requirements of subparagraph (B)(iv), including a listing of
    - (I) the number of requests for information received by the entity in the course of carrying out such requirements;
    - (II) the types of organizations making such requests; and
    - (III) the types of information requested.

(3) FACTORS- Factors that may be considered in evaluating the success of programs funded under this section include the following:

- (A) Discipline issues.
- (B) Student academic achievement.
- (C) Participation in extracurricular activities.
- (D) Parental and community involvement.
- (E) Faculty and administration involvement.
- (F) Student and staff morale.
- (G) Overall improvements in school climate for all students, including students with disabilities (including those with mental or physical disabilities).

(i) PERMISSIVE MATCH-

(1) IN GENERAL- The Secretary may require eligible entities to match funds awarded under this section with non-Federal funds, except that the amount of the match may not exceed the amount of the grant award.

(2) SLIDING SCALE- The amount of a match under paragraph (1) shall be established based on a sliding scale that takes into account —

- (A) the poverty of the population to be targeted by the eligible entity; and
- (B) the ability of the eligible entity to obtain funding for the match.

(3) IN-KIND CONTRIBUTIONS- The Secretary shall permit eligible entities to match funds in whole or in part with in-kind contributions.

(4) CONSIDERATION- Notwithstanding this subsection, the Secretary in making awards under this section shall not consider the ability of an eligible entity to match funds.

## **XII. APPENDICES AND FORMS FOR PAPER SUBMISSION**

Please visit this website to download the following forms:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

- Application for Federal Education Assistance (ED Form 424)
- Budget Information – Non-Construction Programs (ED Form 524)
- Assurances - Non-Construction Programs (Standard Form 424B)
- Certification Regarding Lobbying (ED Form 80-0013)
- Disclosure of Lobbying Activities (Standard Form – LLL)
- Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion – Lower Tier Covered Transactions (ED Form 80-0014)
- Grant Application Receipt Acknowledgement; Grant and Contract Funding Information; D-U-N-S Number Instructions

### **XIII. APPENDICES AND FORMS FOR GRANTS.GOV SUBMISSION**

- SF 424 instructions and the ED supplement to the SF 424 instructions
- Grants.gov Lobbying form (formerly ED 80-0013 form)
- Grant Application Receipt Acknowledgement; Grant and Contract Funding Information; D-U-N-S Number Instructions
- Application Package Preparation Checklist



**U.S. DEPARTMENT OF EDUCATION****BUDGET INFORMATION****NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004

Expiration Date: OMB Approved

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						



Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.	OMB Control Number: 1890-0004  Expiration Date: OMB Approved				
<b>SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS</b>						
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						
<b>SECTION C - OTHER BUDGET INFORMATION</b> (see instructions)				OMB Control Number: 1890-0004 Expiration Date: OMB Approved		

# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1875-0106  
Exp. 11/30/2004

## Applicant Information

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number | | | | | | | | | |

3. Applicant's T-I-N | | | - | | | | | | | |

4. Catalog of Federal Domestic Assistance #: **84.** | | | | |

Title: \_\_\_\_\_

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

City State Zip code + 4

Tel. #: ( ) - Fax #: ( ) -

E-Mail Address: \_\_\_\_\_

Organizational Unit

6. Novice Applicant \_\_\_ Yes \_\_\_ No

7. Is the applicant delinquent on any Federal debt? \_\_\_ Yes \_\_\_ No  
(If "Yes," attach an explanation.)

8. Type of Applicant (Enter appropriate letter in the box.) | | |

A - State F - Independent School District  
B - Local G - Public College or University  
C - Special District H - Private, Non-profit College or University  
D - Indian Tribe I - Non-profit Organization  
E - Individual J - Private, Profit-Making Organization

K - Other (Specify): \_\_\_\_\_

## Application Information

### 9. Type of Submission:

-PreApplication -Application  
\_\_\_ Construction \_\_\_ Construction  
\_\_\_ Non-Construction \_\_\_ Non-Construction

### 10. Is application subject to review by Executive Order 12372 process?

\_\_\_ Yes (Date made available to the Executive Order 12372  
process for review): \_\_\_/\_\_\_/\_\_\_

\_\_\_ No (If "No," check appropriate box below.)

\_\_\_ Program is not covered by E.O. 12372.

\_\_\_ Program has not been selected by State for review.

11. Proposed Project Dates: \_\_\_/\_\_\_/\_\_\_

Start Date:

End Date:

### 12. Are any research activities involving human subjects planned at any time during the proposed project period?

\_\_\_ Yes (Go to 12a.) \_\_\_ No (Go to item 13.)

### 12a. Are all the research activities proposed designated to be exempt from the regulations?

\_\_\_ Yes (Provide Exemption(s) #): \_\_\_\_\_

\_\_\_ No (Provide Assurance #): \_\_\_\_\_

### 13. Descriptive Title of Applicant's Project:

## Estimated Funding

14a. Federal \$ .00

b. Applicant \$ .00

c. State \$ .00

d. Local \$ .00

e. Other \$ .00

f. Program Income \$ .00

g. TOTAL \$ .00

## Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true

and correct. The document has been duly authorized by the governing body of the applicant

and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

\_\_\_\_\_

b. Title: \_\_\_\_\_

c. Tel. #: ( ) - Fax #: ( ) -

d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative

Date: \_\_\_/\_\_\_/\_\_\_

## Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
- 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
- 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
- 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- 5. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 6. Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.  
  
Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
- 8. Type of Applicant.** Enter the appropriate letter in the box provided.
- 9. Type of Submission.** See "Definitions for Form ED 424" attached.
- 10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
- 11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
- 12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

**If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

**If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

**12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**13. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing

project location. For preapplications, use a separate sheet to provide a summary description of this project.

**14. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

**15. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

## Definitions for Form ED 424

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional

information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

**A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.**

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

## B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed

to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked "Yes" for Item 12 on the ED 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative and insert it immediately following the ED 424 face page.

### A. Exempt Research Narrative.

If you marked "Yes" for item 12 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### B. Nonexempt Research Narrative.

If you marked "No" for item 12 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>*

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. . . 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. . . 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. . 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. . . 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) . . 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. . . 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. . 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to



all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. . . 1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. . . 276a to 276a-7), the Copeland Act (40 U.S.C. . 276c and 18 U.S.C. . . 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. . . 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. . . 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. . . 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. . . 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. . 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. . . 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. . . 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. . . 4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, □Audits of States, Local Governments, and Non-Profit Organizations.□
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

## CERTIFICATION REGARDING LOBBYING

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Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

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As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

### Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> _____ a. contract _____ b. grant _____ c. cooperative agreement _____ d. loan _____ e. loan guarantee _____ f. loan insurance	<b>2. Status of Federal Action:</b> _____ a. bid/offer/application _____ b. initial award _____ c. post-award	<b>3. Report Type:</b> _____ a. initial filing _____ b. material change  <b>For material change only:</b> Year _____ quarter _____ Date of last report _____
<b>4. Name and Address of Reporting Entity:</b> _____ Prime _____ Subawardee _____ Tier _____, if Known:  <b>Congressional District, if known:</b>		<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>   <b>Congressional District, if known:</b>
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____	
<b>Federal Use Only</b>	<b>Authorized for Local Reproduction</b> <b>Standard Form - LLL (Rev. 7-97)</b>	

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

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**Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion -- Lower Tier Covered Transactions**

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This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled ☐ Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, ☐ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

# INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> <li>A. Increase Award      B. Decrease Award</li> <li>C. Increase Duration    D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </li> </ul>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions: <ul style="list-style-type: none"> <li><b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.</li> <li><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</li> <li><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</li> <li><b>d. Address:</b> Enter the complete address as follows: Street address (Line</li> </ul>	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
		18.	<b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.

	<p>1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>																								
		20.	<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>																								
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table><tr><td>A. State Government</td><td>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</td></tr><tr><td>B. County Government</td><td>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</td></tr><tr><td>C. City or Township Government</td><td>O. Private Institution of Higher Education</td></tr><tr><td>D. Special District Government</td><td>P. Individual</td></tr><tr><td>E. Regional Organization</td><td>Q. For-Profit Organization (Other than Small Business)</td></tr><tr><td>F. U.S. Territory or Possession</td><td>R. Small Business</td></tr><tr><td>G. Independent School District</td><td>S. Hispanic-serving Institution</td></tr><tr><td>H. Public/State Controlled Institution of Higher Education</td><td>T. Historically Black Colleges and Universities (HBCUs)</td></tr><tr><td>I. Indian/Native American Tribal Government (Federally Recognized)</td><td>U. Tribally Controlled Colleges and Universities (TCCUs)</td></tr><tr><td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td><td>V. Alaska Native and Native Hawaiian Serving Institutions</td></tr><tr><td>K. Indian/Native American Tribally Designated Organization</td><td>W. Non-domestic (non-US) Entity</td></tr><tr><td>L. Public/Indian Housing Authority</td><td>X. Other (specify)</td></tr></table>	A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)	B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)	C. City or Township Government	O. Private Institution of Higher Education	D. Special District Government	P. Individual	E. Regional Organization	Q. For-Profit Organization (Other than Small Business)	F. U.S. Territory or Possession	R. Small Business	G. Independent School District	S. Hispanic-serving Institution	H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (HBCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Alaska Native and Native Hawaiian Serving Institutions	K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity	L. Public/Indian Housing Authority	X. Other (specify)	21.	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)																										
B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)																										
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# INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

- 1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 2. Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

- 3. Human Subjects Research.** (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**If Not Human Subjects Research.** Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

**If Human Subjects Research.** Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**3a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

**3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424

**3a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.

# DEFINITIONS FOR

## DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

### (Attachment to Instructions for Supplemental Information for SF 424)

#### Definitions:

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

#### PROTECTION OF HUMAN SUBJECTS IN RESEARCH

##### I. Definitions and Exemptions

###### A. Definitions.

**A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.**

###### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

###### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

###### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 3 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 3 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human

subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site:*

<http://www.ed.gov/about/offices/list/OCFO/humansub.html>

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

# Instructions for ED 524

## General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

#### **Indirect Cost Information:**

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.

If applicable to this program, provide the rate and base on which fringe benefits are calculated.

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>. You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

Provide other explanations or comments you deem necessary.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0004**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

## **INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

## **GRANT APPLICATION RECEIPT ACKNOWLEDGMENT**

If you fail to receive the notification of application receipt within 15 days from the closing date, call the U.S. Department of Education's Application Control Center at 202/245-6288.

## **GRANT AND CONTRACT FUNDING INFORMATION**

The Department of Education provides information about grant and contract opportunities electronically in several ways:

Department of Education Web site - <http://www.ed.gov>  
Office of the Chief Financial Officer Web Page – <http://www.ed.gov/about/offices/list/ocfo>

## **D-U-N-S NUMBER INSTRUCTIONS**

All grant recipients must have a D-U-N-S Number, a unique nine digit identification code provided by Dun & Bradstreet. If you do not currently have a D-U-N-S Number, you may obtain one at no charge by calling the Dun & Bradstreet Federal Government D-U-N-S Number request line at 866-705-5711, or by visiting the following Web site on the Internet:

[http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)

**Please note that we cannot make a grant award without a D-U-N-S Number.**

## **APPLICATION CHECKLIST – CFDA # 84.215S**

☐ **Part I: Application for Federal Education Assistance (Standard Form 424) and Preliminary Documents**

- Submit the 424 Form, Application for Federal Assistance, CFDA No. 84.215S (Cover Sheet) and the ED Supplement to the SF 424 in Grants.gov

☐ **Part II: Project Abstract**

- Abstract briefly describing proposed project (one-page, double-spaced, not numbered, applicant's name at the top of the page). Attach the abstract to the ED Abstract Form in the application package downloaded from Grants.gov.

☐ **Part III: Program Narrative**

- Application Narrative (the equivalent of no more than 25 pages, double-spaced, 12-point font) addressing the priority and the selection criteria. Attach the project narrative to the Project Narrative Attachment Form in the application package downloaded from Grants.gov. Also included in this section, but not subject to the 25-page limit, will be a table of contents.

☐ **Part IV: Budget and Budget Narrative**

- ED 524 Form Sections A and B. The following columns should be completed in Sections A and B: Amounts for each relevant line in column (a), "Project Year 1," including the total cost amounts in lines 9 and 12.
- Amounts for each relevant line in column (f) "Total," including the total cost amounts in lines 9 and 12.

**Budget Narrative (Explanation of proposed costs in narrative form in addition to the ED Form 524**

- The budget narrative meets the requirements of Form 524 Section C. Attach the Budget Narrative to the Budget Narrative Attachment Form in the application package downloaded from Grants.gov

☐ **Part V: Appendices**

Other information the applicant wishes to include in support of its capacity, experience, and readiness to undertake the proposed project, including:

- Resumes of key personnel. If personnel have yet to be hired for this proposed project, include a narrative description of expected staff qualifications.
- Letters of commitment that reflect each person's understanding of their role in the proposed project. Each letter should indicate a willingness to put forth the necessary time and effort to make the project work efficiently and effectively.
- Relevant prior grant experience.
- Attach the appendices referenced above to the "Other Attachments Form" in the application package downloaded from Grants.gov as either a .doc, .rtf or .pdf document.



## ☐ **Part VI: Assurances and Certifications**

Once all of the required information has been completed, applicants will be required to submit signed copies of those forms, assurances and certifications at a later date if selected for funding. Signed copies should be faxed to Sharon J. Burton, U.S. Department of Education, FAX: (202) 205-5722.

Please check to make sure that you have done the following:

**Applicants submitting their applications electronically have completed all sections of the electronic application, including the budget materials and have completed all required information on the assurances and certifications except the signatures (you will be required to submit those at a later date if selected for funding).**

**Applications submitted through grants.gov must be date and time stamped before 4:30 pm Washington, D.C. time on the application deadline date. Applicants also must ensure that the application successfully validated in Grants.gov. Log in to grants.gov to check your application status or contact the Grants.gov help desk to ensure that your application has been validated.**

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

**If you fail to receive the notification of application within fifteen (15) days from the closing date, call:**

**U. S. Department of Education  
Application Control Center  
(202) 245-6288**

(If your application is late, we will notify you that we will not consider the application.)

## **GRANT AND CONTRACT FUNDING INFORMATION**



**The Department of Education provides information about grant and contract opportunities electronically on the web page:**

**ED Internet Home Page      <http://www.ed.gov/>      (www address)**

U.S. DEPARTMENT OF EDUCATION  
WASHINGTON, DC 20202-6450

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